

**Department of Personnel & Administration
Division of Human Resources**

Onsite Audit

Reviewer Checklist for Contracts/Purchase Orders/Solicitations/Grants

Pre-qualifying Questions

Does the request require personal services review?
Did the request receive Human Resources approval?
Was the request reviewed & approved prior to finalizing the contract/purchase order/solicitation/grant?
Does the request fall within the agency's program waiver (this includes amendments & modifications)?

Certification form

If the request didn't fall within the waiver, was a certification form attached?
Is the certification form signed by HR professional?
Have all questions been answered completely or are some left blank?
If necessary, is there additional documentation attached to explain or answer the questions?

DOES THE PERSONAL SERVICES REQUEST MEET THE FOLLOWING:

Conditions of the agency's program waiver

Is the scope of work adequate to determine the type of personal service?
Can the service be provided by another state program?
If no, why not?
If yes, was a prior-approval or waiver obtained from the program?
Have approvable criteria been identified?
Is it the correct criteria, when needed?
If needed, is there documentation justifying the criteria?

Chapter 10 requirements

Is the business case demonstrated based on:
 Consideration of Accountability
 Consideration of Cost
 Consideration of Quality
Is there an evaluation of potential impact on certified employees?
Does it identify if classified staff has performed the services?
If so, is the justification for contracting out the service reasonable?

The definition of Independent Contractor

Is the contractor identified as a former employee, if applicable? Permanent or Temporary?
If yes, does this comply with 24-18-201? (Shall not be interested in any contract made by them in their official capacity. Former employee may not, within 6 months following termination, contract or be employed by an employer who contracts with state agency or any local government involving matters with which he was directly involved during his employment).
If yes, does this comply with 10-3E? (Department shall not use a succession of alternating temporary employment and personal services contracts in order to avoid either the timely creation or filling of permanent positions).

The required approval process

Was there a pre-approval letter attached indicating the solicitation had pre-approval from the proper entity?
If no, does the service fall under the program waiver?
Is that indicated/documentated?

**Human Resources
Personal Services Review
Preliminary Questionnaire**

Agency/Institution_____

Person completing this questionnaire_____

Date_____

REVIEW

1. Do you have a Program Waiver in effect? ____Yes or ____No. If yes, what are the effective dates? Please provide a copy for all waivers in place for your Department.

2. Who in the department is responsible for the HR review and approval of personal service requests (contracts, purchase orders, solicitations, grants)? Please list all individuals who perform this function.

- a. Are they certified or on their way (completed PCP Level I at a minimum)? Please distinguish those certified or on their way.

- b. What is the average turn around time for reviewing personal services requests (contracts, purchase orders, solicitations, grants)?

POLICIES

3. Are there written department policies for the personal service review process?
____Yes or ____No. If yes, please provide copies of the policies when submitting this questionnaire.

- a. How are these policies communicated throughout the department?

b. How is information shared between accounting, purchasing and human resources?

c. Are there established regular meetings to discuss issues or policies? ____Yes or ____No.
Please explain.

TRAINING

4. Is there department wide staff training available on personal services policies and procedures?
____Yes or ____No.

a. If yes, how often do these sessions occur?

b. Who conducts the training?

c. Who is responsible for creating/updating the content of the training?

d. Please provide a copy of the training material when submitting this questionnaire.

DOCUMENTATION & REPORTING

5. What is the process for maintaining personal services documentation, i.e. certification forms, waivers, prior approval letters, etc.?

6. Is there an internal tracking mechanism for independent contractors? ____ Yes or ____ No. If yes, please explain and provide a complete report of the current fiscal year (July 1, 2005 to present).

- a. Does the report identify all individuals working under contracts? ____ Yes or ____ No.
- b. If your department does not use EMPL/CPPS for tracking state temporary employees, please provide a report of all state temporary employees for the current fiscal year (July 1, 2005 to present) with names and dates of employment.
- c. Provide us with a list of all your contractors including leased workers and how long they have been on the premises. Per contractor/leased worker, per occurrence and duration.

7. What percentage of your department's budget is spent annually on employment agency (leased workers) services? ____%.

8. Who is responsible for tracking and verifying summary totals for the personal services annual report? Please list all individual's responsible and contact numbers.

9. Please provide a list of all personal services contracts entered into the current fiscal year (July 1, 2005 to present).

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- This image shows a blank sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.